

## UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT    | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|--------------------------|------------------------|
| 09/863,600         | 05/23/2001          | Virginia Smith-Swintosky | ORT-1436               |

CONFIRMATION NO. 9298

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## FORMALITIES LETTER



\*OC000000008379976\*

Date Mailed: 07/01/2002

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d). Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

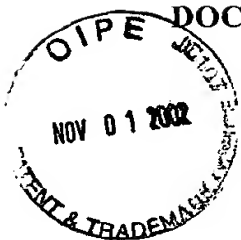
*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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INFORMATION  
JUL - 8 2002  
TO REFER TO



DOCKET NO.: PRI-0014 (ORT-1436)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Smith-Swintosky, et al.

Serial No.: 09/863,600

Filing Date: 05/23/01

For: Neuroprotective Peptides

Confirmation No.: 9298

Group Art Unit: Not Yet Assigned

Examiner: Not Yet Assigned

EXPRESS MAIL LABEL NO: EL568089588US  
DATE OF DEPOSIT: November 1, 2002

EL568089588US

U. S. Patent and Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, Virginia 22202

**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS  
FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE  
SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURE**

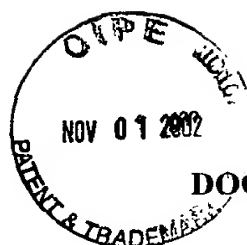
In response to the "Notice to Comply With Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures" dated 07/01/02, a response to which is due 11/01/02, enclosed herewith is:

- ☒ Statement to Support Filing and Submission in Accordance with 37 CFR §§1.821 through 1.825;
- ☒ Substitute pages of the Sequence Listing;
- ☒ Substitute copy of the computer readable form of amended Sequence Listing;
- ☐ Amendment Directing Entry of Sequence Listing into Specification is attached
- ☒ Copy of Notice to Comply With Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures;
- ☐ Other:

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PATENT

- ☒ Request is hereby made under 37 CFR 1.136(a) to extend the time for response to the Notice to Comply of 07/01/02 to and through 11/01/02, comprising an extension of the shortened period of 2 (two) months:

|   | SMALL ENTITY |     | NOT SMALL ENTITY |           |
|---|--------------|-----|------------------|-----------|
|   | RATE         | FEE | RATE             | FEE       |
| <input type="checkbox"/> ONE MONTH EXTENSION OF TIME            | \$55         | \$  | \$110            | \$        |
| <input checked="" type="checkbox"/> TWO MONTH EXTENSION OF TIME | \$200        | \$  | \$400            | \$400.00  |
| <input type="checkbox"/> THREE MONTH EXTENSION OF TIME          | \$460        | \$  | \$720            | \$        |
| <input type="checkbox"/> FOUR MONTH EXTENSION OF TIME           | \$720        | \$  | \$1440           | \$        |
| <input type="checkbox"/> FIVE MONTH EXTENSION OF TIME           | \$980        | \$  | \$1960           | \$        |
| TOTAL FEE DUE   |              | \$0 |                  | \$ 400.00 |

Applicant(s) has/have not been notified that the requested extension will not be permitted. The present application is not involved in an interference declared pursuant to 37 CFR 1.207.

Total fee required \$400.00

The Commissioner is hereby authorized to charge any underpayment associated with this communication or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in duplicate.

Date: November 1, 2002

  
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